

Operator's Lesson Plan

Security File

I. Introduction

The entry of Securities into IDACS and NCIC provides the police officer with an immediate means to determine stolen information.

II. Objective

Upon completion of this lesson, the user will be able to answer test questions related to the Security File.

III. Entry Criteria

1. Securities are identified as currency, e.g., Federal Reserve Notes, Silver Certificates, U. S. Notes, Canadian Notes, and other foreign currency, etc.; those documents or certificates that are generally considered to be evidence of debt (Treasury-issued bills, bonds, and notes; municipal and corporate bonds; debentures; other nonpersonal notes; etc.) or ownership of property (common or preferred stock); documents which represent subscription rights (stock warrants, stock rights); other types traded in securities exchanges in the United States, except for commodities futures; postal and other types of money orders, traveler's checks, warehouse receipts, savings certificates, and interest coupons on stocks and bonds.
2. Items which **do not meet** the definition for entry in any NCIC 2000 file are personal notes; bank drafts; cashier's checks; bank officer's checks; certified checks; personal checks; company checks; U.S. Treasury checks, and other types of government checks (state and local); lost or stolen credit cards; gold or silver coins; gift certificates; and savings and checking account passbooks. Serialized food coupons (stamps and books), ingots, lottery tickets, and medals do not qualify as securities for NCIC 2000 purposes, but may be entered in the NCIC 2000 Article File.
3. Securities may be entered up to one hundred (100) at one (1) time if all fields of data are identical and the serial numbers are consecutive.
4. Serially-numbered identifiable securities that have been stolen, embezzled, used for ransom, or counterfeited may be entered into the file if a theft report has been made.
5. Only the agency holding the theft report and having primary jurisdiction over the place of actual theft can make an IDACS/NCIC entry.

Operator's Lesson Plan

IV. Retention Period

1. Secret Service entries and records for ransom securities have unlimited retention.
2. Stolen, embezzled, or counterfeited securities records, except traveler's checks and money orders, are retained in the NCIC 2000 Securities File for the balance of the year entered plus an additional 4 years.
3. Traveler's checks and money orders are retained in file for the balance of the year entered plus 2 years.

A. Security Data Entry Transaction (ES/ES-P)

SECURITIES DATA ENTRY TRANSACTION (ES)

USER DATA

User ID (UID)

Password Field (PWORD)

Entering Agency (ENT)

Requestor (RQR)

AGENCY/CASE DATA

Originating Agency Code (ORI)

Agency Case Number (OCA)

Notify Originating Agency (NOR) ...

Date of Theft (DOT)

Linkage Agency Identifier (LKI) Linkage Case Number (LKA)

SECURITY DATA

Type (TYP) ... Denomination (DEN)

Serial Number (SER)

Issuer (ISS) Issue Date (SDT)

Owner (OWN)

Social Security Number (SOC) Ransom Money Indicator (RMI) ...

Miscellaneous (MIS)

TEST INDICATOR

Command:

FOX-PRIM T DPS19 TRN19 LOG 0 Message 14:42

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Security Data

1. Type Code (TYP)
 - a. Required.
 - b. This field identifies the type of security that is being queried upon or entered.
 - c. Must be a valid NCIC code.

Operator's Lesson Plan

2. Denomination (DEN)
 - a. Required.
 - b. Place in the denomination field the amount of money represented by a security as indicated thereon.
 - c. Must be one to nine characters or "WR", or "BLANK".
 - d. \$37.00 should be entered as 37 while \$37.75 should be entered as 37-75.
 - e. The first character may not be a zero.
3. Serial Number (SER)
 - a. Required.
 - b. Must contain one to eighteen alphabetic and/or numeric characters.
 - c. The serial number must be a unique number identifying the stolen or embezzled security.
 - d. All of the alphabets should be included in the SER.
 - e. Numbers composed of alphabetic characters only cannot be used. Alphabetic characters may be present as a prefix, suffix, or intermixed with numeric characters.
 - f. If the serial number exceeds 18 characters, the rightmost 18 characters must be entered in the SER Field, and the complete serial number must be entered in the MIS Field.
 - g. Any number typed on the certificate following the name of the owner is not to be entered as a serial number. If the number typed after the name of the owner is the owner's Social Security number, it must be included in the SOC.
 - h. When message key is ESS, single "-" hyphen must separate the two numbers with the lowest and highest serial number in that order.
 - i. A group record cannot include more than 100 consecutive serial numbers.
 - j. If more than 100 securities are to be entered, additional group entries must be made. A group of stolen securities bearing serial numbers A526800- A526952 would have to be entered in two separate entries.
 - k. Serial numbers in a group entry must be numerically consecutive, and the rightmost numerics in the two numbers must establish the consecutive sequence.
Ex: 5387621-5387692 or ABC6782-ABC6808
4. Issuer (ISS)
 - a. Required.
 - b. Enter up to fifteen alphabetic and/or numeric characters. The only valid special character shall be "-" (hyphen).

Operator's Lesson Plan

- c. If is BL, FB, FR, GC, NB, RB, SB, SC, SN, TB, TD, TN, UN, ISS must be "USTREASURY".
 - d. This field may also contain name of company, agency, or organization printed on the security even if the security was stolen or embezzled before it was appropriately prepared or issued by an authorized person.
 - e. If the issuers name contains more than fifteen characters, use generally accepted abbreviations.
 - f. Securities issued by other agencies of the U.S. Government should show the full name or a generally accepted abbreviation for that agency. Canadian currency, issued by the Bank of Canada, must be shown as CANADA.
 - g. Spaces are allowed.
5. Issue Date (SDT)
- a. Enter a minimum of four and a maximum of nine characters.
 - b. The series year is found on the face of U.S. currency following the word SERIES. For example: SERIES 1999 would be entered as 1999.
 - c. The alphabetic character M or P is not to be prefixed to the series year of U.S. currency or Canadian notes. They are used only when the maturity or issue date is entered.
 - d. If a money order was stolen before it was issued and no issue date appears thereon, the word BLANK is to be entered in the SDT.
6. Owner (OWN)
- a. Required.
 - b. Maximum of forty characters.
 - c. Full name of the owner is to be included. Names of individuals must be entered as last name, comma, first name, (space), middle name or initial.
 - d. If owner is not a person but a company, list the full name. No periods allowed.
 - e. Owner information is to be included even if the information is not indicated on the document.
 - f. If TYP is "BC" or "FB" or "FR" or "GC" or "NB" or "SC" or "UN", then OWN MUST be "BEARER".
7. Social Security Number (SOC)
- a. Must be a nine (9) numeric character.
 - b. If the name of the owner appears on the security, the Social Security number of the owner should be entered in the SOC

Operator's Lesson Plan

Field. If the Social Security number does not appear on the security, the number should be obtained from the owner and entered.

- c. When the owner of the security is a corporation, foundation, etc., or if the security does not list the name of the owner (e.g. a bearer bond or currency) or if the security was stolen prior to being issued no entry should be made in the SOC Field.
- d. When co-owners are listed on the security, the SOC of the first person listed is preferred if available.

8. Ransom Money Indicator (RMI)

- a. One of the following codes may be entered in this field:
 - 1. R – Ransom, C – Counterfeit, B - Bait Money.
 - 2. A code of "R" causes unlimited retention of the record.

9. Miscellaneous (MIS)

- a. When a counterfeit security is entered using an NCIC format, the word COUNTERFEIT must be entered as the first item in the MIS Field. This will bypass the edits on the SER, DEN, ISS, OWN, and SDT.
- b. Additional information should be entered in the MIS Field when it would be helpful to an inquiring agency for positive identification (e.g., other securities taken during same robbery not recovered) or would more fully describe the securities being entered.
- c. The originating agency may wish to enter the city or location of the theft, the identity of the agency or branch office from which the security was taken, or the nature of the offense.

Operator's Lesson Plan

B. Security Data Modify Transaction – (MS)

The screenshot displays the 'Omnibox Force' application window, specifically the 'SECURITIES DATA MODIFY TRANSACTION (MS)' form. The interface includes a menu bar (File, Forms, Edit, Comm, Options, Tools, Windows, Links, Help) and a toolbar with icons for Transmit, Message Window, and Message Log. The form is divided into several sections for data entry:

- AGENCY/CASE DATA:** Includes fields for 'Originating Agency Code (ORI)' (containing 'INISP00X8') and 'Name of Validator (VLN)'.
- RECORD IDENTIFYING DATA:** Includes fields for 'ID Number (IDN)' and 'Agency Case Number (OCA)'.
- MODIFY AGENCY/CASE DATA:** Includes fields for 'Originating Agency Code (ORI)', 'Agency Case Number (OCA)', 'Notify Originating Agency (NOA)', 'Date of Theft (DOT)', 'Linkage Agency Identifier (LKI)', and 'Linkage Case Number (LKA)'.
- MODIFY SECURITY DATA:** Includes fields for 'Type (TYP)', 'Denomination (DEN)', 'Serial Number (SER)', 'Issuer (ISS)', 'Issue Date (SDT)', 'Owner (OWN)', 'Social Security Number (SOC)', 'Ransom Money Indicator (RMI)', and a 'Miscellaneous (MIS)' text area.

At the bottom of the window, there is a 'Command:' field and a status bar displaying 'FOX-PRIM', 'T', 'SPHQ00X8', 'TTESTER', 'LOG', '0 Message', and '15:12'. The Datamaxx logo and 'Leading Law Enforcement Technology' text are visible in the bottom right corner.